

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
REQUEST FOR FILING NATIONAL PATENT APPLICATION

Under 35 USC 111(a) and Rule 53(b)

PATENT APPLICATION

Hon. Commissioner of Patents
Washington, D.C. 20231

WITH SIGNED DECLARATION

J1051 U.S. PTO



Sir: 07/30/01

NONPROVISIONAL
NON REISSUE
NON PCT NAT PHASE



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jc997 U.S. PTO
09/916444
07/30/01

Herewith is the PATENT APPLICATION of
Inventor(s): YONEZAWA et al.

Title OPTICAL DISK APPARATUS AND OPTICAL DISK
PROCESSING METHOD

Atty. Dkt.: P 282736 T4A0-00S1411-1
M# Client Ref

including:

Date: July 30, 2001

1. Specification: 37 pages (only spec. and claims) 2. ☐ Specification in non-English language
3. Declaration ☒ Original ☐ Facsimile/Copy ☒ Abstract 1 page(s); 9 numbered claims
4. ☒ Drawings: 13 sheet(s) ☒ informal; ☒ formal of size: ☒ A4 ☐ 11"
5. ☐ See top first page re prior Provisional, National or International application(s). ("X" box only if info is there and do not
complete item 6 or 7). (Prior M# SN)
6. This application claims benefit of the following prior US application(s), the contents of which are incorporated into this application
by this reference:

No. / filed
No. / filed
No. / filed

No. PCT/US / filed, Which

designated the US and that International Application ☐ was ☐ was not published under PCT Article 21(2) in English

7. ☐ See the attached Preliminary Amendment, which amends the specification to claim benefit of the above listed US
application(s)

8. ☒ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.

9. ☐ Assignee (optional):

Address

10. **FOREIGN** priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in Japan

11. (country)

Application No.	Filing Date	Application No.	Filing Date
(1) 2001-126115	April 24, 2001	(2)	
(3)		(4)	
(5)		(6)	
(7)		(8)	
(9)		<input type="checkbox"/> See 3 rd page for additional priorities	

12. 1 (No.) Certified copy (copies): ☒ attached; ☐ previously filed (date) _____
in U.S. Application No. / filed on _____

13. Small entity status ☒ is **not** claimed; ☐ is claimed (Pre-filing confirmation required)

- 13(a). ☐ Attached: (No.) Small Entity Statement(s) (since 9/8/00 small entity statement(s) not essential to make claim)

- 13(b). ☐ See **NONPUBLICATION REQUEST** under Rule 213(a) attached (Pat-258)

14. DOMESTIC/INTERNATIONAL priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.	Filing Date	Application No.	Filing Date
(1)		(4)	
(2)		(5)	
(3)		(6)	

15. ☐ This application is being filed under Rule 53(b)(2) since an inventor is named in the enclosed Declaration who was not named in the prior application.

16. ☒ Attached: Form PTO-1449 listing enclosed cited documents, Background Art Information Paper

17. ☐ Preliminary Amendment:

THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED

				Large/Small Entity		Fee Code
18	Basic Filing Fee			\$710/\$355	\$710	101/201
19	Total Effective Claims	9	minus 20 = *0	x \$18/\$9 =	+ 0	103/203
20	Independent Claims	3	minus 3 = *0	x \$80/\$40 =	+ 0	102/202
*If answer is zero or less, enter "0"						
21	If any proper multiple dependent claim (ignore improper) is present, add (Leave this line blank if this is a reissue application)			+ \$270/\$135	+ 0	104/204
22	TOTAL FILING FEE ENCLOSED =				\$710	
23	If "non-English" box 2 is X'd, add Rule 17(k) processing fee			+ \$130	+ 0	139
24	If "assignment" box 8 is X'd, add recording fee			+ \$40	+ 40	581
25	<input type="checkbox"/> Attached is a Petition/Fee under Rule No.			+ \$130	+ 0	122
26	TOTAL FEE ENCLOSED =				\$750	

Our Deposit Account No. 03-3975

Our Order No. 8312 C# 282736 M#



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CHARGE STATEMENT: The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficient fee only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown above for which purpose a duplicate copy of this sheet is attached.

This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

Pillsbury Winthrop LLP
Intellectual Property Group

By Atty: Dale S. Lazar

Reg. No. 28872

Sig:

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NOTE: File in duplicate with 2 post card receipts (PAT-103) & attachments